

10/61/01

U.S. PTO
1054

12-04-01

A

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under
37 CFR 1.53(b))

Attorney Docket No.	P01-3684
First Inventor	Stephen J. Sicola et al.
Title	UNIFIED MANAGEMENT SYSTEM AND METHOD FOR MULTI-CABINET DATA STORAGE COMPLEXES
Express Mail Label No.	EL910769680US

JC835 U.S. PTO
10/000190
10/19/01

APPLICATION ELEMENTS	Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
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1. <input checked="" type="checkbox"/> Fee Transmittal Form (submit an original and a duplicate for fee processing)	6. <input type="checkbox"/> Application Data Sheet. (See 37 CFR 1.76)
2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
3. <input checked="" type="checkbox"/> Specification [total pages 45] (preferred Arrangement set forth below)	8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- Descriptive title of the Invention	a. <input type="checkbox"/> Computer Readable Form
- Cross References to Related Applications	b. <input type="checkbox"/> Specification Sequence Listing on:
- Statement Regarding Fed sponsored R&D	i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or
- Reference to sequence listing, a table, or a computer program listing appendix	ii. <input type="checkbox"/> paper
- Background of the Invention	c. <input type="checkbox"/> Statements verifying identity of above copies
- Brief Summary of the Invention	
- Brief Description of the Drawings	
- Detailed Description	
- Claim(s)	
- Abstract of the Disclosure	
4. <input checked="" type="checkbox"/> Drawing(s) [total sheets 7]	
5. <input checked="" type="checkbox"/> Oath or Declaration [total sheets 2]	
a. <input checked="" type="checkbox"/> Newly Unexecuted (original or copy)	9. <input type="checkbox"/> Assignment Papers (coversheet/document(s))
b. <input type="checkbox"/> Copy from prior appl. (37 C.F.R. § 1.63(d))	10. <input type="checkbox"/> 37 CFR. 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee)
i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).	11. <input type="checkbox"/> English Translation Document
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:	12. <input type="checkbox"/> IDS & Form 1449 <input type="checkbox"/> Copies of IDS Citations
<input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: /	13. <input type="checkbox"/> Preliminary Amendment
Prior application information: Examiner: _____ Group/Art Unit: _____	14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)
FOR CONTINUATION OR DIVISIONAL APPS only. The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.	15. <input type="checkbox"/> Certified Copy of Priority Document(s)
	16. <input type="checkbox"/> Request & Certification under 35 USC 122(b)(2)(B)(i)
	17. <input checked="" type="checkbox"/> Other: Certificate of Mailing by Express Mail

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label 25235	or <input type="checkbox"/> Correspondence address below			
Name				
Address				
City		State		ZIP
Country		Telephone		Fax

Name (Print/Type)	William J. Kubida	Registration No.	29,664
(Signature)		Date	16 October 2001

10/6/01
U.S.P.T.O.

FEE TRANSMITTAL

for FY 2001

TOTAL AMOUNT OF PAYMENT (\$) **(\$)** 920.00

Complete if Known	
Application Number	-----
Filing Date	Herewith
First Named Inventor	Stephen J. Sicola et al.
Examiner Name	
Group / Art Unit	
Attorney Docket No.	P01-3684

METHOD OF PAYMENT (check one)1. The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:Deposit Account Number **50-1123**Deposit Account Name **Hogan & Hartson L.L.P.**

Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17
 Applicant claims small entity status.
 See 37 CFR 1.27

2. Payment Enclosed:
 Check Money Order Other
FEE CALCULATION**1. BASIC FILING FEE**

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
740	370	Utility Filing Fee	740.00
330	165	Design filing fee	
510	255	Plant filing fee	
740	370	Reissue filing fee	
160	80	Provisional filing fee	

SUBTOTAL (1) (\$) **740.00****2. EXTRA CLAIM FEES**

Total Claims	30	-20**=	10	X	18	=	180
Independent Claims	3	-3***=	0	X	0	=	0
Multiple Dependent							0

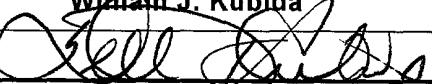
**or number previously paid, if greater, For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203 -9 Claims in excess of 20
102	84	202 42 Independent claims in excess of 3
104	280	204 140 Multiple dependent claim, if not paid
109	84	209 42 **Reissue independent claims over original patent
110	18	210 9 **Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) **180.00****FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge – late filing fee or oath	
50	25	Surcharge – late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for ex parte reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SIR after Examiner action	
110	55	Extension for reply within first month	
400	200	Extension for reply within second month	
920	460	Extension for reply within third month	
1,440	720	Extension for reply within fourth month	
1,960	980	Extension for reply within fifth month	
310	155	Notice of Appeal	
310	155	Filing a brief in support of an appeal	
270	135	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive – unavoidable	
1,240	620	Petition to revive – unintentional	
1,240	620	Utility issue fee (or reissue)	
440	220	Design issue fee	
600	300	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Information Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	
710	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
710	355	For each additional invention to be examined (37 CFR § 1.129(b))	
710	355	Request for Continued Examination	
900	900	Request for expedited examination of a design application	

*Reduced by Basic Filing Fee Paid **SUBTOTAL (3) (\$)****SUBMITTED BY**

Name (Print/Type)	William J. Kubida	Registration No. (Attorney/Agent)	29,664	Telephone	(719) 448-5900
Signature				Date	14 Oct 2001

PATENT
EXPRESS MAIL NO. EL910769680US
Attorney Docket No. P01-3684
Client/Matter No. 68854.0185

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Stephen J. Sicola, Bruce Sardeson, Dennis Spicher, Bruce Roberts, Bill Pagano, Richard Lary, William K. Miller, and Mark Conrad

Group Art Unit: _____

Examiner: _____

Serial No. _____

Filed: Herewith

For: UNIFIED MANAGEMENT SYSTEM AND METHOD
FOR MULTI-CABINET DATA STORAGE COMPLEXES

CERTIFICATE OF MAILING BY EXPRESS MAIL

BOX PATENT APPLICATION

Assistant Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

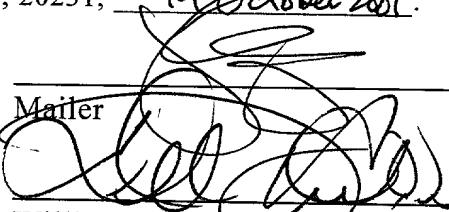
The undersigned hereby certifies that the following documents:

1. Utility Patent Application Transmittal;
2. Fee Transmittal and \$920 filing fee;
3. Utility Patent Application;
4. Unexecuted Declaration;
5. 7 sheets of drawings;
6. Return postcard; and
7. Certificate of Mailing By Express Mail

relating to the above application, were deposited as "Express Mail", Mailing Label No. EL910769680US with the United States Postal Service, addressed to The Commissioner of Patents and Trademarks, Washington, D.C., 19 October 2001.

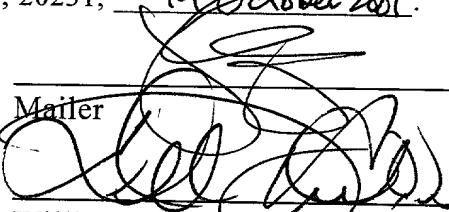
19 October 2001

Date



Mailer

Date



William J. Kubida, Reg. No. 29,664

Hogan & Hartson LLP

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